

?show files;ds

File 13:BAMP 2003/Oct W2

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File 75:TGG Management Contents(R) 86-2003/Oct W1

(c) 2003 The Gale Group

File 267:Finance & Banking Newsletters 2003/Oct 23

(c) 2003 The Dialog Corp.

File 268:Banking Info Source 1981-2003/Oct W3

(c) 2003 ProQuest Info&Learning

File 625:American Banker Publications 1981-2003/Oct 24

(c) 2003 American Banker

File 626:Bond Buyer Full Text 1981-2003/Oct 24

(c) 2003 Bond Buyer

Set	Items	Description
S1	67986	(FINANCIAL OR ESTATE OR INVESTMENT)() (MANAGEMENT OR PLANNING OR ARRANGEMENT? ? OR ADMINIST?) OR EMPLOYEE()BENEFIT? ?
S2	989218	ASSET? ? OR SAVINGS OR DISBURS? OR PAYMENT? ? OR PROPERT??? OR RECEIPT? ? OR ANNUIT??? OR EARNINGS OR INCOME OR INTEREST OR RETURN? ? OR PROFIT? ? OR GAIN? ? OR RESOURCES OR CAPITAL - OR MONEY? ? OR MONIES OR DIVIDEND? ?
S3	80682	ASSIGN? ? OR ASSIGNMENT OR ASSIGNING OR ALLOCAT??? OR ALLO-T? OR REBALANC??? OR REALLOCAT??? OR APPORTION? OR REAPPORTION?
S4	448619	ERISA OR EMPLOYEE()RETIREMENT()INCOME()SECURITY()ACT OR REGULATORY OR REGULATION? ? OR LEGAL()RESTRAINT? ? OR OVERSEE??? OR OVERSIGHT OR ADMINISTRATION OR GOVERN??? OR ENFORC? OR RESTRICT??? OR LAW? ? OR REG OR REGS OR LEGISLATION
S5	142213	AVOID? OR CIRCUMVENT??? OR (KEEP??? OR STAY??? OR STEER???- )() (CLEAR OR IN()MIND) OR NEGATE? ? OR NEGATING OR NEGATION OR PROHIBIT??? OR ESCAPE OR MINDFUL
S6	8679	(CONFLICT? ? OR CLASH?? OR DISHARMONY OR DISAGREE? OR INCOMPATIB?) (3N) (INTEREST OR ETHIC?? OR MORAL?? OR DUTY OR DUTIES OR PRINCIPLE? ?)
S7	20083	S2(3N)S3
S8	683	S5(3N)S6
S9	448792	S4 OR S8
S10	327	S1(S) (S7(S)S9)
S11	510	S4 AND S8
S12	15	S7(S)S11
S13	15	S1(10N) (S7(10N)S9)
S14	30	S12 OR S13
S15	22	S14 NOT PY>2001
S16	21	S15 NOT PD=20010210:20031130
S17	21	RD (unique items)

17/3,K/3 (Item 3 from file: 13)  
DIALOG(R)File 13:BAMP  
(c) 2003 Resp. DB Svcs. All rts. reserv.

1119598 Supplier Number: 01960301 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Where Do We Go From Here? Part 1 of 2**  
(Some of 1999's biggest challenges for fee-based financial advisers include  
reconciling client expectations with market conditions; four experts  
give their opinions)  
Financial Planning, v 29, n 1, p 67-76,158+  
January 1999  
DOCUMENT TYPE: Journal ISSN: 0746-7915 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 2394

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:  
...discussed were the impact of rising market volatility on client  
expectations, the rumored death of \*asset\* \*allocation\* and the changing  
\*regulatory\* environment.

\*Financial\* \*Planning\*: Going into 1999, what do you see as the biggest  
challenge facing your practice and...

17/3,K/5 (Item 5 from file: 13)  
DIALOG(R)File 13:BAMP  
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1017617 Supplier Number: 00838614 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Advisers get rollover cash**  
(Financial advisers are profiting over corporate downsizing by helping  
those let go by the companies to invest their lumpsum retirement plan  
rollovers)  
Article Author(s): Star, Marlene Givant  
Pensions & Investments, p 40  
July 08, 1996  
DOCUMENT TYPE: Journal ISSN: 1050-4974 (United States)  
LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 976

(USE FORMAT 7 OR 9 FOR FULLTEXT)

ABSTRACT:  
...he usually works with companies for 12 to 18 months, giving advice on  
tax and \*regulatory\* issues, investment basics, \*asset\* \*allocation\* and  
\*estate\* \*planning\*. Richard B. Manchester, director of asset management of  
Worldwide Investment Network, Irvine, CA, says that...

TEXT:  
...him projects of this sort for 12 to 18 months.

Mr. Hartwell discusses tax and \*regulatory\* issues, investment basics,  
\*asset\* \*allocation\* and \*estate\* \*planning\*. He also might provide  
referrals to tax and estate attorneys and certified public accountants.

Richard...

17/3,K/6 (Item 1 from file: 75)  
DIALOG(R)File 75:TGG Management Contents(R)  
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00247977 SUPPLIER NUMBER: 71266734 (USE FORMAT 7 FOR FULL TEXT)

**MERCHANT BANKING.**

Furash, Edward E.

The RMA Journal, 83, 1, 72

Sept, 2000

ISSN: 1531-0558

LANGUAGE: English

RECORD TYPE: Fulltext

WORD COUNT: 2851

LINE COUNT: 00230

... risky capital investment is bank investments in SBICs. Under the Fed's current merchant banking \*regulatory\* proposals, bank-owned or investments in SBICs would probably be subject to the 50% capital...

...with that would be required to give a market rate of return on that much \*capital\* \*allocation\*. The typical SBIC is ecstatic with a 3:1 return in five years as opposed...merchant banking? It is patently obvious that the proposed regulations pose merchant banking as a \*capital\* \*allocation\* problem: How to \*gain\* maximum benefit and leverage from what it appears will be very expensive capital backing?

So...

...any bank, large or small, should not forge ahead in smart ways to leverage its \*capital\* \*allocation\* to this business. Banks need to get their feet wet in this arena anyway. It...

...the smartest people available in merchant banking as partners is the best solution to a \*regulatory\* dilemma that will take a long time to solve.

Furash is chairman & CEO, Effinity Financial...

17/3,K/7 (Item 2 from file: 75)

DIALOG(R)File 75:TGG Management Contents(R)

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00242038 SUPPLIER NUMBER: 66939673 (USE FORMAT 7 FOR FULL TEXT)

**Investment Advisory Services Under ERISA. (Employee Retirement Income Security Act)**

Geller, Sheldon M.

The CPA Journal, 70, 9, 42

Sept, 2000

ISSN: 0732-8435

LANGUAGE: English

RECORD TYPE: Fulltext

WORD COUNT: 5301

LINE COUNT: 00446

... order to clarify its position on participant education. The bulletin indicated that the provision of \*asset\* \*allocation\* services does not cause fiduciary liability under the \*Employee\* \*Retirement\* \*Income\* \*Security\* \*Act\* of 1974 (\*ERISA\*). Nevertheless, many plan participants continue to expect specific investment recommendations, services not subject to the...

...the advisor renders individual investment advice based on individual needs.

Early DOL positions suggested that \*asset\* \*allocation\* services could constitute investment advice. Interpretive Bulletin 96-1 resolved the uncertainty by excluding \*asset\* \*allocation\* services from fiduciary liability under \*ERISA\*. Although the bulletin provides four safe harbors under which the provision of investment education services does not constitute investment advice--plan-related information, general financial and investment information, \*asset\* \*allocation\* models, and interactive materials--plan participants are demanding more from their advisors than is covered...

17/3,K/18 (Item 5 from file: 268)

DIALOG(R)File 268:Banking Info Source

(c) 2003 ProQuest Info&Learning. All rts. reserv.

00243422 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Loan syndications and participations: Trends and tactics**

Wienke, Robert O

Commercial Lending Review, v9, n2, p4-24, Spring 1994 DOCUMENT TYPE:

Journal Article LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 08588

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... worth necessary to participate in the syndication and participation. Substantial borrowers sometimes are entitled to \*restrict\* the extent to which assignments may be undertaken and the institutions that can become co...

17/3,K/20 (Item 2 from file: 625)

DIALOG(R)File 625:American Banker Publications

(c) 2003 American Banker. All rts. reserv.

0034282

**TRUST CONFERENCE**

American Banker - December 6, 1984, Thursday; Pg. 8

WORD COUNT: 39

BYLINE:

Anise Wallace

TEXT:

... held Friday in Boston. Topics to be addressed will include tax reforms, new performance incentives, \*asset\* \*allocation\*, legal and \*regulatory\* changes, and selling trust services through \*financial\* \*planning\*.

- Anise Wallace\*

17/3,K/21 (Item 1 from file: 626)

DIALOG(R)File 626:Bond Buyer Full Text

(c) 2003 Bond Buyer. All rts. reserv.

0202656

**Kentucky**

The Bond Buyer - June 16, 1998; Pg. 6; Vol. 324, No. 30415

Word Count: 730

COMPANY NAMES (DIALOG GENERATED): \*Administration\* Cabinet ; \*Asset\* /Liability \*Allocation\* Commission ; Bond Buyer ; Buildings Commission ; Cook County Hospital ; \*Financial\* \*Management\* ; Fitch IBCA Inc ; Kentucky 's Office of Financial Management ; Kentucky Finance ; National Investor Forum ; OFM...

17/AA,AN,TI/1 (Item 1 from file: 13)  
DIALOG(R)File 13:(c) 2003 Resp. DB Svcs. All rts. reserv.

1176887 Supplier Number: 02554281  
How ETFs Can Pay

17/AA,AN,TI/2 (Item 2 from file: 13)  
DIALOG(R)File 13:(c) 2003 Resp. DB Svcs. All rts. reserv.

1168848 Supplier Number: 02471720  
Avoiding 401-Chaos

17/AA,AN,TI/3 (Item 3 from file: 13)  
DIALOG(R)File 13:(c) 2003 Resp. DB Svcs. All rts. reserv.

1119598 Supplier Number: 01960301  
Where Do We Go From Here? Part 1 of 2

17/AA,AN,TI/4 (Item 4 from file: 13)  
DIALOG(R)File 13:(c) 2003 Resp. DB Svcs. All rts. reserv.

1025268 Supplier Number: 00799913  
Outsourcing remains hot

17/AA,AN,TI/5 (Item 5 from file: 13)  
DIALOG(R)File 13:(c) 2003 Resp. DB Svcs. All rts. reserv.

1017617 Supplier Number: 00838614  
Advisers get rollover cash

17/AA,AN,TI/6 (Item 1 from file: 75)  
DIALOG(R)File 75:(c) 2003 The Gale Group. All rts. reserv.

00247977 SUPPLIER NUMBER: 71266734  
MERCHANT BANKING.

17/AA,AN,TI/7 (Item 2 from file: 75)  
DIALOG(R)File 75:(c) 2003 The Gale Group. All rts. reserv.

00242038 SUPPLIER NUMBER: 66939673  
Investment Advisory Services Under ERISA. (Employee Retirement Income  
Security Act)

17/AA,AN,TI/8 (Item 3 from file: 75)  
DIALOG(R)File 75:(c) 2003 The Gale Group. All rts. reserv.

00234948 SUPPLIER NUMBER: 62280498  
ACTIVITY-BASED COSTING FOR SALES AND ADMINISTRATIVE COSTS: A CASE  
STUDY. (Statistical Data Included)

17/AA,AN,TI/9 (Item 4 from file: 75)  
DIALOG(R)File 75:(c) 2003 The Gale Group. All rts. reserv.

00215646, SUPPLIER NUMBER: 21048523

An international comparison of banks' equity returns. (Comparative Financial Systems)

17/AA,AN,TI/10 (Item 5 from file: 75)  
DIALOG(R)File 75:(c) 2003 The Gale Group. All rts. reserv.

00179402 SUPPLIER NUMBER: 16926601  
The values jury to aid natural resource decisions. (Speculations)

17/AA,AN,TI/11 (Item 1 from file: 267)  
DIALOG(R)File 267:(c) 2003 The Dialog Corp. All rts. reserv.

04569457  
Fund Investing - How ETFs Can Pay Exchange Traded Funds can be a good opportunity for you and your clients.

17/AA,AN,TI/12 (Item 2 from file: 267)  
DIALOG(R)File 267:(c) 2003 The Dialog Corp. All rts. reserv.

04556765  
Wheres Your Money - Why the SEC Wants to Know

17/AA,AN,TI/13 (Item 3 from file: 267)  
DIALOG(R)File 267:(c) 2003 The Dialog Corp. All rts. reserv.

04544255  
Where Do We Go From Here? Fee-based advisers see big challenges from regulators and the markets in 1999.

17/AA,AN,TI/14 (Item 1 from file: 268)  
DIALOG(R)File 268:(c) 2003 ProQuest Info&Learning. All rts. reserv.

MSDW opens family unit/consulting arm

17/AA,AN,TI/15 (Item 2 from file: 268)  
DIALOG(R)File 268:(c) 2003 ProQuest Info&Learning. All rts. reserv.

The Bill Gates technique

17/AA,AN,TI/16 (Item 3 from file: 268)  
DIALOG(R)File 268:(c) 2003 ProQuest Info&Learning. All rts. reserv.

Financial conglomerates: New world, new challenges for supervisors

17/AA,AN,TI/17 (Item 4 from file: 268)  
DIALOG(R)File 268:(c) 2003 ProQuest Info&Learning. All rts. reserv.

Issues in financial institution capital in emerging market economies

17/AA,AN,TI/18 (Item 5 from file: 268)  
DIALOG(R)File 268:(c) 2003 ProQuest Info&Learning. All rts. reserv.

Loan syndications and participations: Trends and tactics

17/AA,AN,TI/19 (Item 1 from file: 625)  
DIALOG(R)File 625:(c) 2003 American Banker. All rts. reserv.

0148434

\* First Hawaiian Readying A Line of Proprietary Funds

17/AA,AN,TI/20 (Item 2 from file: 625)  
DIALOG(R)File 625:(c) 2003 American Banker. All rts. reserv.

0034282

TRUST CONFERENCE

17/AA,AN,TI/21 (Item 1 from file: 626)  
DIALOG(R)File 626:(c) 2003 Bond Buyer. All rts. reserv.

0202656

Kentucky

09677153\*

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(FILE 'HOME' ENTERED AT 16:07:05 ON 24 OCT 2003)

FILE 'CONFSCI' ENTERED AT 16:07:14 ON 24 OCT 2003

L1 93 S (FINANCIAL OR ESTATE OR INVESTMENT) (W) (MANAGEMENT OR PLANNING  
L2 38332 S ASSET# OR SAVINGS OR DISBURS? OR PAYMENT# OR PROPERT### OR RE  
L3 2167 S ASSIGN# OR ASSIGNMENT OR ASSIGNING OR ALLOCAT### OR ALLOT? OR  
L4 29207 S ERISA OR EMPLOYEE (W) RETIREMENT (W) INCOME (W) SECURITY (W) ACT OR R  
L5 1575 S AVOID? OR CIRCUMVENT### OR (KEEP### OR STAY### OR STEER###) (W  
L6 38 S (CONFLICT# OR CLASH## OR DISHARMONY OR DISAGREE? OR INCOMPATI  
L7 79 S L2 (3A) L3  
L8 0 S L5 (3A) L6  
L9 29207 S L4 OR L8  
L10 0 S L1 (P) (L7 (P) L9)  
L11 0 S L1 AND L7 AND L9

10/24/2003 CSW-E